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| <b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE<br/>(DO/EO/US)<br/>CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>  |  | CUSTOMER NO. 22,852<br>ATTORNEY'S DOCKET NUMBER 09367.0054-00000<br>U.S. APPLICATION NO. (If known, see 37 CFR 1.5)<br>10/552,611 |
| INTERNATIONAL APPLICATION NO.<br>PCT/US2004/009274   | INTERNATIONAL FILING DATE<br>April 9, 2004 | PRIORITY DATE CLAIMED<br>April 10, 2003   |
| TITLE OF INVENTION<br>COMPOUNDS, COMPOSITIONS, AND METHODS   |  |   |
| APPLICANT(S) FOR DO/EO/US<br>Xiangping QIAN, Gustave BERGNES, and David J. MORGANS, Jr.  |  |   |
| Applicant(s) herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:   |  |   |
| <ol style="list-style-type: none"> <li>1. <input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.</li> <li>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</li> <li>4. <input type="checkbox"/> The US has been elected (Article 31).</li> <li>5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c)(2)).           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (95 pages) (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed with the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3)).           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).</li> <li>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)) is attached (6 pages total).</li> <li>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</li> </ol> |  |   |
| Items 11 to 20 below concern document(s) or information included:  |  |   |
| <ol style="list-style-type: none"> <li>11. <input type="checkbox"/> Information Disclosure Statement under 37 CFR 1.97 and 1.98 (2 pages)</li> <li>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>13. <input checked="" type="checkbox"/> A preliminary amendment is attached (18 pages, pages 1 - 18).</li> <li>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</li> <li>15. <input type="checkbox"/> A Substitute specification.</li> <li>16. <input checked="" type="checkbox"/> A power of attorney (with Declaration).</li> <li>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821-1.825.</li> <li>18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154 (d)(4).</li> <li>19. <input type="checkbox"/> A second copy of the English language translation of the international application 35 U.S.C. 154 (d)(4).</li> <li>20. <input checked="" type="checkbox"/> Other items or information:           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> Copy of Notification of Missing Requirements is attached(2 pages).</li> <li>b. <input type="checkbox"/></li> <li>c. <input type="checkbox"/></li> <li>d. <input type="checkbox"/></li> <li>e. <input type="checkbox"/></li> <li>f. <input type="checkbox"/></li> <li>g. <input type="checkbox"/></li> </ol> </li> </ol>   |  |   |

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| U.S. APPLICATION NO. (if known, see 37 CFR 1.5)<br>10/552,611  |              | INTERNATIONAL APPLICATION NO.<br>PCT/US2004/009274                               |            | ATTORNEY'S DOCKET<br>NUMBER<br>09367.0054-00000 |                 |
| The following fees have been submitted:  |              |  |            | CALCULATIONS                                    | PTO Use<br>Only |
| 21. <input type="checkbox"/> BASIC NATIONAL FEE (37 CFR 1.492(a)): .....\$300.00   |              |  |            |   |                 |
| 22. <input type="checkbox"/> Examination fee (37CFR 1.492(c))  |              |  |            |   |                 |
| If the Written opinion prepared by ISA/US or the International preliminary examination report prepared<br>by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) .....\$0   |              |  |            |   |                 |
| All other situations.....\$200   |              |  |            |   |                 |
| 23. <input type="checkbox"/> Search fee (37 CFR 1.492(b))  |              |  |            |   |                 |
| If the written opinion of the ISA/US or the International preliminary examination report prepared by<br>IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) .....\$0  |              |  |            |   |                 |
| Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an<br>International Searching Authority.....\$100   |              |  |            |   |                 |
| International Search Report prepared by an ISA other than the US and provided to the Office or<br>previously communicated to the US by the IB .....\$400   |              |  |            |   |                 |
| All other situations.....\$500   |              |  |            |   |                 |
| <b>TOTAL of 21, 22 and 23 =</b>  |              |  |            |   |                 |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence<br>listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an<br>electronic medium) (37 CFR 1.492(j)).<br>The fee is \$250 for each additional 50 sheets of paper or fraction thereof.  |              |  |            |   |                 |
| Total Sheets   | Extra Sheets | Number of each additional 50 or fraction<br>thereof (round up to a whole number) | Rate       |   |                 |
| 96 - 100 =   | /50=         |  | x \$250.00 | \$  |                 |
| Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of<br>commencement of the national stage (37 CFR 1.492(h)).   |              |  |            | \$ 130.00                                       |                 |
| CLAIMS   | NUMBER FILED | NUMBER EXTRA   | RATE       |   |                 |
| Total Claims   | 43 - 20 =    | 23   | x \$50.00  | \$1,150.00                                      |                 |
| Independent Claims   | 1 - 3 =      |  | x \$200.00 | \$  |                 |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)  |              |  | +\$360.00  | \$  |                 |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>   |              |  |            | \$1,280.00                                      |                 |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.   |              |  |            | \$  |                 |
| <b>SUBTOTAL =</b>  |              |  |            | \$1,280.00                                      |                 |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest priority date (37 CFR<br>1.492(i)).   |              |  |            | \$  |                 |
| <b>TOTAL NATIONAL FEE =</b>  |              |  |            |   |                 |
| Fee for recording the enclosed assignment (37 CFR 1.21 (h)). The assignment must be accompanied by an appropriate<br>cover sheet (37 CFR 3.28, 3.31). \$40.00 per property.  |              |  |            | \$  |                 |
| <b>TOTAL FEES ENCLOSED =</b>   |              |  |            | \$1,280.00                                      |                 |
|  |              |  |            | Amount to be<br>refunded:                       | \$              |
|  |              |  |            | charged:  | \$              |
| <p>a. <input type="checkbox"/> A check in the amount of \$_____ to cover the above fees is enclosed.</p> <p>b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>06-0916</u> in the amount of <u>\$1,280.00</u> to cover the above fees.<br/>A duplicate copy of this sheet is enclosed.</p> <p>c. <input type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account<br/>No. <u>06-0916</u>. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card information should not be included<br/>on this form.</b> Provide credit card information and authorization on PTO-2038.</p> <p><b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted<br/>to restore the International Application to pending status.</p> <p><b>SEND ALL CORRESPONDENCE TO:</b></p> <p>Finnegan, Henderson, Farabow, Garrett &amp; Dunner, L.L.P.<br/>901 New York Avenue, N.W.<br/>Washington, DC 20001-4413</p> <div style="text-align: center; margin-top: 20px;"> <br/>       SIGNATURE     </div> <div style="text-align: center; margin-top: 10px;">       Lauren L. Stevens Reg. No. 36,691<br/>       NAME/REGISTRATION NUMBER     </div> <p>DATE: September <u>19</u>, 2006</p> |              |  |            |   |                 |

09/25/2006 LLANDGRA 00000014 060916 10522611

01 FC:1617 130.00 DA  
02 FC:1615 1150.00 DA



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

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|---|---|--------------------------------------|
| U.S. APPLICATION NUMBER NO.<br>10/552,611 | FIRST NAMED APPLICANT<br>Xiangping Qian | ATTY. DOCKET NO.<br>09367.0054-00000 |
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| INTERNATIONAL APPLICATION NO. |
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PCT/US04/09274

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| I.A. FILING DATE<br>04/09/2004 | PRIORITY DATE<br>04/10/2003 |
|--------------------------------|-----------------------------|

22852  
 FINNEGAN, HENDERSON, FARABOW, GARRETT & DUNNER  
 LLP  
 901 NEW YORK AVENUE, NW  
 WASHINGTON, DC 20001-4413

CONFIRMATION NO. 6327  
 371 FORMALITIES LETTER



\*OC000000019752014\*

Date Mailed: 07/26/2006

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 10/06/2005
- Copy of the International Search Report filed on 10/06/2005
- Information Disclosure Statements filed on 10/06/2005
- Copy of references cited in ISR filed on 10/06/2005
- U.S. Basic National Fees filed on 10/06/2005
- Specification filed on 10/06/2005
- Claims filed on 10/06/2005
- Abstracts filed on 10/06/2005

The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Additional claim fees of \$2610 as a non-small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.
- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

SUMMARY OF FEES DUE:

Total additional fees required for this application is **\$2740** for a Large Entity:

- **\$130** Surcharge.
- Total additional claim fee(s) for this application is **\$ 2610**
  - **\$2250** for **45** total claims over 20.
  - **\$360** for multiple dependent claim surcharge.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

DARRELL C COTTMAN

Telephone: (703) 308-9140 EXT 203

**PART 1 - ATTORNEY/APPLICANT COPY**

| U.S. APPLICATION NUMBER NO. | INTERNATIONAL APPLICATION NO. | ATTY. DOCKET NO. |
|-----------------------------|-------------------------------|------------------|
| 10/552,611                  | PCT/US04/09274                | 09367.0054-00000 |